ORGANIZATIONAL CAPACITY ASSESSMENT REPORT

FOR NN ROUND TWO PARTNER
CCSS

OCTOBER 2008

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The information contained in this report is the product of an assessment conducted by the New Partners Initiative Technical Assistance Project (NP). The organizational capacity assessment component is led by II Inc. in collaboration with John Snow Inc. and the United States Agency for International Development (USAID). The report was prepared Task Order No. GHS-xxx issued by USAID under the auspices of the President's Emergency Plan for AIDS Relief (PEPFAR).

DISCLAIMER

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Abbreviations

AIDS	Acquired Immunodeficiency Syndrome
CASNET	Coalition on Children Affected by AIDS
CC HQ	CC
CC SS	CC, SS
CINDI	Children in Distress Network
HIV	Human Immunodeficiency Virus
IT	Information Technology
JJ	
NGO	Non-Governmental Organization
NN	NN
NP	NP
NXP	Non-Expendable Property
OCA	Organizational Capacity Assessment
OVC	Orphans and Vulnerable Children
PEPFAR	President's Emergency Plan for AIDS Relief
SORAT	School of Religion and Theology
TA	Technical Assistance
UNICEF	United Nations International Children's Emergency Fund
USAID	United States Agency for International Development
USAID SS	United States Agency for International Development SS
USG	United States Government

ORGANIZATIONAL CAPACITY ASSESSMENT (OCA) REPORT

CC(CC) – SS
SO CENTER FOR ORAL HISTORY AND MEMORY WORK
JULY 21 – 22, 2008

<u>**OCA REPORT WRITTEN BY:**</u>
DB

<u>**ASSESSMENT TEAM:**</u>
DB
BB
CG, USAID

1. Background
The New Partners Initiative was developed to expand the reach of HIV and AIDS prevention and care programs by providing funding opportunities to organizations with established presence in local communities but no prior experience managing USG funds. A key objective of the New Partners Initiative is to build the capacity of these organizations to: 1) manage grants from the USG and comply effectively with USG regulations and requirements; 2) develop their organizations into stronger entities that will be able to better source USG and other funding and continue and/or expand programs after the NN grant comes to an end; and 3) strengthen the ability of the organizations to implement high quality HIV and AIDS programs.

2. Organizational Capacity Assessment Process
To support the selected organizations, USAID has awarded a contract to JJ assisted by II Inc. That support starts with an analysis of the current capacity of the organization, measured through a capacity assessment, conducted in partnership with the implementing organization. The organization capacity assessment or OCA uses an interactive tool to assist organizations to identify their status on seven management elements: governance, administration, human resource management, financial management, organizational management, program management, and project performance management. The elements and their subsections measure organizational strengths and challenges and ability to comply with USAID administrative, financial and programmatic regulations and procedures. The outcome is a quantitative baseline to guide future operations and a detailed plan of actions to undertake over the next year to strengthen those systems and procedures. The plan also pinpoints areas in which the technical assistance of NP is desired. The OCA is meant to be repeated annually to show growth over time. To get a full range of inputs, a sample of staff and board members are asked to fill out questionnaires and provide them to the OCA team. The staff contributes by reflecting their knowledge and use of the mission and vision statement, their participation in planning exercises, awareness of administrative and human resource policies. Board members provide details on the leadership, responsibilities and commitment to the organization.

3. Organizational Overview
The CC was awarded an NN grant to provide support to OVCs through the So Center for Oral History and Memory Work. Based in Pietermaritzburg, SS, the Center is part of the School of Religion and Theology (SORAT), University of KwaZulu-Natal. CC, as it has in all its international programs, opened an office in SS to oversee and support the Center. CC SS is led by the Project Director, SH.

The So Center was established in 1996 by Dr. PD, the Director, and Ms. NM, the Senior Programme-Coordinator, to help families and children develop resilience in dealing with the effects of loss. In 2000, the Center expanded its work to partner with organizations serving OVCs to help HIV affected families through the methodology of oral history documentation. Partner organizations select staff to be trained as memory facilitators through a program that stretches over 11 months; new facilitators are mentored by the Center especially in their initial efforts. They are also helped to train others. The memory retrieval process helps to document the history of their parents, providing children with living memories of their past. The final product is a memory 'box' that contains the written story and mementos of their life. Ultimately the goal is to enhance the resilience of the orphan by giving him/her a sense of identity and in the process help the family grieve and heal.

CC was eager to work with So as the nature of their work and values resonate well with CC's own vision to help at risk children wherever they may be. With the funds CC received from PEPFAR, the Center will expand their program to the East Bank of SS and reduce the training period to three concentrated months. The new facilitators will use the oral history methodology with their families and commit to holding two training sessions with new trainees in their province. This cascade approach will rapidly expand the number of memory facilitators and families reached.

So has four full time staff, one staff shared with the University and a media/IT intern. To date, the CC Project Director acts a pseudo-member of the So team.   The Project Director, SH, is on leave from September to December and has been replaced by an interim Director, DlC, who was invited to participate in the OCA prior to his employment. SH has been seconded to CC funded by his Baptist Missionary.

4.   OCA Implementation Description

4.1 Participants

NP	USAID	So	CC SA	CC US
DB, Team Leader II Inc. (*Governance, Organizational Management Project Performance Management*) BB, Consultant (*HR and Program Management*)	CG USAID SA *(Administration, Finance and Program Management)*	PD*Director* Radikobo Ntsimane, *Deputy Director/M&E* NM *Sr. Programme coordinator* LM *Capacity Building Manager* NB*Administrator (shared with SORAT)* KA *Media Officer*	SH *National Director* DlC *Interim Project Administrator*	DG*Executive Director*

4.2 Process
The NP team conducted the Organizational Capacity Assessment (OCA) process on July 21 and 22 on the premises of the KwaZulu-Natal campus, where the Center is housed. The Center is

governed by the University financial and administrative regulations, procedures and policies, thus the site was ideal for access to University documents and staff. The entire So staff, SH, CC SA and Dearing Gardner, Executive Director, CC US participated in the review. DlC, proposed interim CC SA Director, attended as possible. CG, USAID SA activity manager represented both USAID and worked as a NP team member to assess the financial and administrative elements of the OCA.

The process was introduced in a plenary meeting to the So/CC team; the purpose of the OCA and resources available through USAID and NP were explained and Dr. D presented the organization and highlighted staff expectations regarding the OCA. Following the introduction, the OCA schedule was completed and the group discussions began. Although guarded at first, the So team eventually warmed to the participatory, non-judgmental nature of the assessment and the opportunity to discuss issues that have been identified but often tabled due to lack of time and resources.

At the request of the So team, who had originally expected to attend a workshop in Durban on the 23rd, the OCA was reduced to two days. Although the Durban meeting was cancelled, the meeting was kept to the requested timeframe and the third day was spent observing a memory facilitator training. We completed four sections on day one and three on day two. The NP team divided responsibilities as documented above. The remaining sessions were completed on day two and the scoring and rationale worksheets were ready for distribution on day two.

The NP team provided an overview of the worksheets and asked the CC staff to review in private the information and scores for eventual revisions and return within 30 minutes to start the action planning process. While the So team met, the NP team began framing the action plan to facilitate completion. However, the Center team went further than reviewing the forms; they decided in their small group meeting who would be responsible and what actions would be taken. The ownership taken by So caused us to review the decisions in plenary and complete the action plan accordingly. Their scoring and prioritization strategy mimicked that of NP - to identify items with low scores as well as USG starred items; this concurrence with our list made the process flow quite smoothly. Fruitful discussions took place and clarifications were sought to complete the plan and identify technical assistance needs. The draft action plan was left with the CC/So team for review and comments.

5. OCA Findings

5.1 OCA Scores

Scoring was an area of concern for the Center; although they recognized gaps in their organizational systems, staff initial attitudes were to score themselves high in recognition of their conviction that their program was of a very high caliber. When they retreated to review the rationale worksheets in private, they were also advised to review the scores based on their increased comfort with the process and understanding of the value of scores for prioritization and implementation. This led them to revise their scores to more realistic values. In composite, So scored 2.9/4.0 on the OCA. Their score on areas related to compliance with USAID regulations was 3.0, while their score without rankings on USAID categories was 2.9. Sections that scored over three include human resources management, financial management, administration and organizational management. Areas requiring attention include governance, project performance management and program management.

The scores reflect both the structured regulations that the Center follows as part of the University and the more limited experience in scaling up programs and providing ongoing support, supervision and monitoring of a wider range of partners. These are areas that So has prioritized in their action plan and would benefit from NP technical assistance.

5.2 Summary of Issues

5.2.1 Governance (Capacity Score 1.6)
Despite the focus on documentation in their memory work, So has had a more organic view of their mission and vision. These defining statements are not documented, but intrinsically understood by current staff. As the Center prepares to scale up and face the potential of recruiting new staff members, it is important for these statements to be clearly articulated and written to provide guidance for the organization, future staff and potential partners. Similarly social relationships have guided their working relationships, emphatically described in the staff questionnaires, but a clearly defined organogram, with recognized roles and responsibilities and reporting guidelines understood by and agreed upon by all staff is not in place. A major issue, particularly for small organizations with the founder as Director, is the lack of a succession plan. Understandably, this issue has been raised previously with no resolution. In recognition of these needs, So has agreed to hold a strategic planning meeting in which the vision, mission and organizational structure will be addressed. This meeting also offers an opportunity for improving communication among staff and between staff and management through team building exercises.

So has a Council composed of University officials. The Council operates as an advisory board and as per their agreement should meet three times a year, but in reality rarely meets. The Director uses more informal modes of communication, such as email or telephone contact to get member advice, which he finds useful. It was recognized that a more formal structure with defined terms of reference and standing meeting dates would increase the Council's contribution, commitment and efficiency. As the Center grows and leadership changes are envisioned, a stronger advisory board could provide stability in the transition phase.

5.2.2 Human Resources (Capacity Score 3.6)
The personnel files of So follow the University regulations, all of which are in conformance with the USAID requirements. The Center is in the process of addressing the issues of completing and filing biodata forms for each staff and training staff on the use of timesheets. The only weakness in human resources, which has been previously recognized by So, is the lack of a personnel appraisal process. This is partially due to the team's size and open and supportive culture; the Director believes there has been continual opportunity to discuss issues as they emerge and a lack of time and energy for a more formal appraisal process. However, he recognized that staff would benefit from a process that allows both goal setting and performance review; this would also allow So to adjust job descriptions and prepare staff for increased responsibilities based on self assessment, supervisory evaluation and the organizational needs. So will take advantage of the staff performance review process used by the University to formalize this process.

Student volunteers are anxious to work with and used regularly by So. They receive training and a clear description of their tasks. They are required to prepare reports on their activities, which are kept by the organization. They do not receive regular performance reviews, but are supervised in their work by So staff. To date, this system has been mutually beneficial to the organization and interns.

5.2.3 Organizational Management (Capacity Score 3.3)

So holds regular meetings to review its plans and implementation activities; these meetings are called *strategic planning* meetings and minutes are kept by Dr. D, who doubles as facilitator. The Center, however, does not have a written strategic plan detailing its long range goals and strategies. It has not conducted an analysis of its strengths and weaknesses or external opportunities and threats. As So expresses its desire to scale up both within SS and potentially regionally, a strategic plan and ongoing review of progress toward meeting their goals would guide their growth plans and help them determine the need for structural or personnel changes. So is planning to hold a strategic planning exercise in January 2009 and will make use of an outside facilitator to address a host of organizational issues and objectives.

The workplan submitted by CC SA on behalf of So was approved. To ensure the plan is achieved, a quarterly review process will be instituted. Regular monitoring of the plan by all staff will help to sharpen their skills in creating future workplans, improving the collaborative creative process.

Change management is an integral part of So's nature. As a team, they hold meetings to continually review their operations and successes and decide on needed changes. Documentation of decisions is weak; making adherence and monitoring of effectiveness more difficult; this could be strengthened by more systematic recording of decisions, ultimately creating a more efficient organization.

The Center is heavily invested in working with other organizations and exchanging information on memory work. They use their website, conferences and publications to provide information to and learn from others. Close collaboration with UNICEF, Coalition on Children Affected by AIDS (CASNET) and the association of social workers are other channels for knowledge exchange. This spirit of cooperation and information exchange should now be used in collaborating with USAID OVC partners to enable partners to take advantage of the memory methodology and So to learn more about the OVC organizational needs.

As a member of the Children in Distress Network (CINDI) and through University programs, So has a strong network for gathering information about AIDS and religion. To strengthen partner organizations ability to identify client needs and provide holistic services along with appropriate referrals, So should consider upgrading its training exercise on community resource mapping.

The reputation of So and PDhas opened doors to funding opportunities; this appears to be mostly garnered through 'relational' rather than 'institutional' means. Although the Center is funded through 2009, the skill to solicit and access funds has not been transferred to other Center staff posing a challenge for the future. So will include business or resource allocation planning as part of the planned strategic planning exercise.

5.2.4 Project Performance Management (Capacity Score 2.0)

As a training organization, So has concentrated on collecting data on the number of new facilitators trained and evaluating through immediate training feedback and additional feedback 30 days post training as well as gathering key information about the HIV families in closure reports. Under PEPFAR, the Center will be required to: develop a more detailed plan for field oversight, supervision, and monitoring; learn more about the effect of their training and the status of the families in order to continually document progress on their workplan and continually improve the oral history work. There is a need to revisit their support strategies for the PEPFAR-

funded partners. The role and responsibility for overseeing new organizations and memory facilitators should be detailed to enable the Center to plan for assisting training, working with families, and increasing referrals and collaboration among organizations. This is especially important as the PEPFAR partners are in a new area, which is more remote and less accessible; the strategy will have to compensate for fewer visits with technically sound and cost effective interventions.

The documentation weaknesses unearthed during the OCA affect the efficiency of the Center as well. For example, although So has used valuable staff time to set standards for training and camp sessions, the decisions are recorded and filed in a haphazard manner, making them difficult to access and follow. So would benefit from logging all standards in a single document to improve compliance and increase efficiency. Standards also provide the basis for the design of the supervision system. So does provide mentoring for organizations involved in longer term relationships through co-training and follow up visits; the plan for supervision in the new PEPFAR partner organizations is under construction. The Center needs to outline the roles and responsibilities for supporting new trainers upon their completion of the three month capacity building program to assist in the quality of training, memory work and the comprehensiveness of the services provided to OVCs in general.

Monitoring and evaluation is an area that needs revisiting; currently So has control over and collects the information on the number of trainees trained. However, indicators to measure the effectiveness of training have not been clearly identified nor has a strategy been put in place to assess the effect of memory boxes on children and their families. NP could provide assistance in defining indicators to measure immediate effects and a strategy to measure longer term impact on resilience, and in developing data collection and analysis systems. NP can also assist So in developing a quality assurance program that would allow them to collect and use data to strengthen performance in training, supervision and implementation of the story telling and memory box process.

5.2.5 Program Management (Capacity Score 2.7)
So has yet to submit a technical report to CC, so compliance cannot be measured. To assist them to prepare a report, NP has been asked to provide a sample, to provide details on deadlines and to review the report prior to submission.

As most organizations deal with specific needs of OVCs, referrals become key to meeting the comprehensive needs of OVCs. As part of the community mapping exercise, So can strengthen the role of the partners in referrals, ensuring they have and know how to use the information on referral sites in their districts. So could emphasize the importance of meeting the needs of clients, track information on referrals and follow up by partner organizations as an indicator of the impact of So's training. The closure report could include a question on the numbers of referrals and follow up made enabling the indicator to be used for the monitoring and evaluation. Partner organizations could be helped to use the referral data to advocate for improved services at the referral sites.

So's perspective on the importance of culture and gender is embedded in their approach to creating memory boxes and their use of story telling to discuss taboo topics. This is reflected in its training programs, in the way it enters communities, and in its focus on health, illness, bereavement, and inter-generational dialogue as a means of healing. The question raised by the Center staff was: a) How do we assess the impact of our work in gender on trainees, children in camps, and family interviews, and b) how do we document our efforts to mainstream gender into

our programming?   The effort to document how it mainstreams gender and how to evaluate its impact requires more discussion and potentially assistance from NP.

In the area of community involvement, So has in place extensive processes for soliciting feedback from its partners, children in camps and trainees which are used to shape and modify its manuals, programs and activities.   It also uses Partner Review Meetings and Partnership Meetings to gather information on the quality of the partnership and ways to improve the collaboration.   This effort needs to be continued as it tries to establish stronger links in the Eastern Cape to strengthen training, referrals and monitoring and evaluation. It may be useful to use the strategic planning meeting to articulate a decision making process that describes the cost-benefits of short and medium term relationships with partners and provides direction on when to transition from one level to another and to describe an exit strategy.   Careful planning and budgeting will ultimately strengthen these new relationships and the quality of programs.

5.2.6 Administration (Capacity Score 3.2)
So is in general compliance with requirements for administrative policies and procedures as the Center follows the University directives, which mirror those of the USG. Yet there is a need for Center specific policies; it would be helpful for the Center to develop a policy on its filing system, travel and a procurement documentation checklist. The policies should be known and understood by all staff. The Center should seek clarification on the requirements for trip reports, NXP and the geographic code. These are all items in which NP can assist if called upon by the organization.

5.2.7 Financial Management (Capacity Score 3.3)
A similar situation exists in the areas of financial management and financial control, audits and financial reporting; the Center follows the written procedures and policies of the University. However, the organization would benefit from compiling all policies and procedures into a manual and making it available for all staff. It is important for the Center to make decisions about sharing of financial information based on the staff roles and responsibilities and their 'need to know' in order to accomplish the organization's functions and missions.   In the area of financial documentation, certain actions would strengthen documentation and staff compliance. These include developing a written cost-center policy and procedure to cover those expenditures specific to the Center, for example buying petrol for emergency situations, a policy on advances and a policy on budget tracking including projections.   Finally more discussion is needed on cost sharing to result in a written policy. This would be an asset in working with donors and could even be documented in So's work with CC. NP can assist, if desired, in this discussion.

5.3 Technical Assistance and Support Requested

5.3.1 Suggested Technical Assistance

Financial Management	• NP should assist So as they develop their cost sharing policy
Administration	• NP should provide examples of acceptable branding and policy handbooks upon request.
Human Resources	• NP can review time sheets if desired
Organizational Management	• NP should provide examples of strategic plans for So review • NP is available to assist in the strategic planning workshop if desired

Project Management	• NP has forwarded samples of technical reporting and success stories; they may review technical reports when requested
Project Performance Management	• NP should provide examples of supervision plans, if requested • NP will provide assistance to strengthen the M&E plan, including defining indicators, data collection strategy and tools and use of data for continual improvement

5.3.2 NN Advisor

CC US had iterated a desire to create, with NP assistance, a NN advisor position. The initial thought was that the TA would address areas defined in the OCA action plan for So. In discussions with So, the priority area for assistance focused on designing a monitoring and evaluation strategy. It was not decided whether this would be through an advisor or through short term TA.

6. Conclusion

The So team is proud of and deeply committed to the value of memory work for vulnerable children; this is reflected in their responses to the staff questionnaires. It is demonstrated in their oral and written materials, the involvement of trainees and trainers and the interest it has generated among partner organizations and volunteers. The quality of their technical work needs to be supported by equally strong management systems with clearly documented policies and procedures and results. A careful balance of structure and process would make the organization more efficient and transparent without marring the team spirit and creativity. A partnership among So, CC, USAID and NP could provide that balance ensuring stronger results and strategic scale up.

Annex 1: Score Sheet

Section		Sub-section	Score	Section Tally Average Score	USG Score
Governance	●	Vision	1		
	●	Mission/Goals	2		
	●	Organizational Structure	2	1.6	
	●	Board Composition and Commitment	2		
	●	Legal Status	N/A		
	●	Succession Planning	1		
Administration	●	Administrative Policies and Procedures	3		
	★	Travel Policies and Procedures	3		3
	★	Procurement	4	3.2	4
	●	Fixed Assets Control	4		
	★	Branding/Marking	2		2
Human Resources Management	●	Job Descriptions	4		
	●	Recruitment and Retention	4		
	●	Staffing Levels	4		
	★	Personnel Policies	4		4
	★	Staff Time Management	3		3
	★	Staff Professional and Salary History Documentation	3	3.6	3
	●	Staff Salaries and Benefits Policy	4		
	●	Staff Performance Management	2		
	●	Volunteers	4		
Financial Management	●	Financial Management	4		
	●	Financial Controls	4		
	●	Financial Documentation	3		
	★	Audits	4	3.3	4
	★	Financial Reporting	4		4
	★	Cost Share	1		1
Organizational Management	●	Strategic Planning	2		
	★	Workplan Development	3		3
	●	Change Management	4	3.3	
	●	Knowledge Management	4		
	●	Stakeholder Involvement	4		
	●	Sourcing Funds	3		
Program Management	★	Donor Compliance	N/A		N/A
	★	Sub-grant Contract Management	N/A		N/A
	★	Sub-grant Monitoring and Supervision	N/A		N/A
	★	Technical Reporting	N/A	2.7	N/A
	●	Referral	2		
	●	Community Involvement	3		
	●	Culture and Gender	3		
Project Performance Management	●	Field Oversight	2		
	●	Standards	2		
	●	Supervision	2	2.0	
	★	Monitoring and Evaluation	2		2
	●	Quality Assurance	2		
AVERAGE Organizational Capacity Score			**2.9**		
Average USG Grant Implementation Capacity Score				★	**3.0**
Average Organizational Capacity Score without USG Sub-sections				2.9	

Annex 2: Action Plan

So: OCA Action Plan				OCA Dates:	July 21-22, 2008	

Note: Enter participant names in space provided below the table

Action Plan Monitoring Strategy: PD will monitor implementation

Section	Issue	Action	Person Responsible	TA/Support Desired	Priority Level	Timeline (Date or Quarter)
Governance						
Vision	Written documents expressing aspirations or mission are not in place; staff questionnaires suggest there is not consensus. These concepts help to spell out goals internally and externally and are particularly helpful in scale strategy	Initial discussions will take place in 7/28 meeting to review vision but likelihood is both mission and vision will be tabled to a January strategic planning meeting	Philippe, Dan		M	15-Jan-09
Mission						
Org structure	Although a structure exists it lacks specific information on functions and responsibilities; discussions seem to indicate some haziness in this area among staff	This will be included in the January strategic planning session - which highlights need for this strategic meeting/process to be carefully planned with a clear agenda and external facilitator	Philippe, Dan		M	15-Jan-09
Board	Although the council is helpful, it currently has no statutory meeting dates, does not hold regular meetings and its purpose vis a vis So objectives is not clear	Philippe will counsel Council to hold meeting to define its role/TORs	Philippe D,		M	15-Nov-08
Succession	There is no formal plan for how to decide on succession steps - including development of staff management skills to ensure capacity to lead organization in absence of director	This will be reviewed in the strategic planning meeting	Philippe, Dan		H	15-Jan-09
Administration						
Policies/proc	University administration procedures cover the Center but USAID policies need to be clear to Center staff	Need a Center specific written policy on its filing system; and clarification on geographic code and trip reports requirements; and NXP from USAID	Naresh, Sara (new admin. asst.)	NP can provide samples, if desired	H	15-Sep-08

Travel policies	University administration procedures cover the Center but USAID policies need to be clear to Center staff	Need a centre written policy on travel that is available and known to staff.	Naresh, Sara		H	15-Sep-08
Branding	plan exists but requires USAID approval	This will be reviewed with USAID & NP if desired to ensure compliance	Scott		M	1-Aug-08
Human Resources						
Time mgt	At present, timesheets are in draft status and need to be reviewed to ensure compliance with AID recommendations and CC needs	Final format will be reviewed with Dearing and DC activity manager	Kare, Scott	NP can review if desired	H	23-Jul-08
Salary history	biodata forms lacking	Forms will be distributed to all working on CC project, collected and filed in personnel records. Any assistance on how to fill them out can be provided by NP or CC, if needed	Naresh, Sara	NP can review if desired	H	30-Jul-08
Performance appraisal	Currently there is no system for reviewing staff performance, job description, or staff goal setting	So will review and adapt University performance appraisal system and implement	Philippe, Scott, Nadikobo		M	15-Jun-08
Financial Mgt.						
Fin. mgt	The University policies and procedures are comprehensive and followed but it is not clear that staff are aware of the full range of policies	Compile all policies and procedures into one manual and make it available to staff; Prepare system for sharing financial information based on staff roles and responsibilities and 'need to know' to accomplish functions and missions	Sara, Naresh, Dan		H	15-Oct-08
Documentation	University policies are comprehensive but at times the Center needs to make expenditures that are not fully covered in the Univ. policies	Develop a cost center policy to cover advances and expenditures, e.g. purchasing petrol in emergency situation; develop a center policy for budget tracking including projections	Sara, Naresh, Dan		H	15-Oct-08
Cost share	This is a new area for So	Continue discussion on including cost sharing in future proposals to donors; develop written policy for organization; revisit current budgets and financial statements and LOE to assess whether cost sharing is occurring now.	Dan, Philippe	NP can review or assist as needed	M	15-Oct-08

Org. Mgt.						
Strategic Planning	Currently no written long term plan exists reflecting vision or strategy for achieving vision	Request copies of plans or processes for developing plan from NP; arrange an external consultant to assist in strategic planning, governance issues and business development; determine timeframe for plan and ensure process for at least annual review of plan	Philippe, Dan	NP to send upon request information on strategic planning process and product	H	15-Jan-09
Workplan dev	An approved workplan exists but no review sessions for monitoring progress are defined	Monthly review will be an agenda item to ensure achievements and obstacles are monitored and documented to assist technical reporting and strategy adjustment	Scott, Dan		H	29-Jul-08
Stakeholder inv	Although So is well connected in memory work it needs to establish stronger relationships with USAID OVCs for joint planning, monitoring and sharing of best practices	Update training manual to reflect holistic approach and trainee responsibility; join USAID OVC network	All		M	Ongoing
New opportunity	Center funding is on track at least until 2009; but there is no detailed business/resource mobilization plan and staff skill in proposal writing has not been nurtured	Include business development/resource mobilization plan in strategic planning meeting. Identify needs of staff to increase skill in this area	Philippe, Dan		M	15-Jan-09
Project Mgt						
Tech reports	There has been no technical reporting to date	Seek examples of technical reporting from NP; get clarity on due dates and as needed request NP to review	Dan, Scott	NP will forward samples of technical reporting and success stories	H	15-Nov-08
Referral	Although referrals are covered in training, there is no system for reporting and tracking referrals or success of referrals as a sign of skill transfer to memory facilitators or to document child is provided comprehensive services	Ensure partner organizations are clear about need for referral data collection; stress need for making and documenting referrals in training; add referrals to indicator monitoring list; develop tracking system, assist area coordinators to analyze referrals as well.	Radikobo		H	28-Jul-08

Community inv	Community feedback is gathered through awareness meetings and post training evaluations and through meetings of organization partners to review issues, benefits and next steps. Currently there is no specified pan for how this will occur in the E. Cape region (PEPFAR)	Design a plan that details support and exit strategy with long and short term partners; develop a plan and budget for the Eastern Cape to ensure partner review meetings are held before and after training to elicit feedback. This will be also included in strategic planning meeting discussions	Philippe		M	15-Jan-09
Culture/gender	Although gender and culture are an integral part of Center work; the issues raised included: How do we assess the impact of our work in gender on trainees, children in Camps, family interviews etc. And how do we document our efforts to mainstream gender into our programming?	Develop a system that documents the processes whereby So mainstreams its work in gender and monitors and evaluates the impact of this work. Lois will produce a paper on this issue to be shared with all staff to focus attention on the role of gender and culture in their work.	Lois		M	15-Nov-09
Project Perf. Mgt.						
Field oversight	There is a sketchy oversight plan but only for longer term partners; there is a need for greater specificity in terms of responsibilities & M&E reporting	To meet the objectives of training and monitoring, this will have to be clearly defined in PEPFAR partnership agreements, including assignment of data collection, review of data, feedback and mentoring. Agreements with partner organizations should also be clear regarding roles and responsibilities post training	Nokhaya		H	28-Jul-08
Standards	Standards are known but not documented or compiled in a single document, this makes it difficult to ensure compliance especially as one rolls out the CBP program	Compile all standards into one document and review with all	Radikobo		M	15-Aug-08

Supervision	This is not clearly defined at the moment - who is to be supervised, by whom, how often and how is feedback provided. Is So responsible for only supervising area coordinators; do area coordinators understand their role vis a vis memory facilitators. how are global problems identified and addressed in training, etc.	Develop a plan and guidelines for supportive supervision and mentoring. Ensure supervision process is documented and findings shared to improve project	Nokhaya	NP can offer assistance if desired	M	15-Oct-08
M&E	There is not a clear plan for what needs to be measured, how to collect, input, review and analyze the data for program improvement	Define indicators both for PEPFAR and to assess effectiveness of training and services. Identify database system to be used. Prepare process reports monthly, review, analyze and make revisions based on findings	Radikobo, Dan, Cliford, Kare	TA will be initiated with visit by JJ consultant in 8/08 and can continue as needed	H	
QA	There is no plan for systematically using data to review and revise program quality				M	28-Jul-08

Participants

Organization:	PD, Director	NP:	DB, II Inc.
	RN, Dep. Dir., M&E		BB, Consultant NP
	NM, Sr. Pgm. Coord.		
	CM, Prog. Coord.		
	LM, CB Mgr, Trng	USAID:	CG, USAID SA
	NB, Admin		
	KA, Media Off.		
	SH, CC Proj Dir.		
	DIC, Interim Proj. Dir		
	DG, CC Exec Dir		

Annex 3: Staff Questionnaires
# of Respondents = 9

1		What do you think is the greatest strength of your organization?	- A clear focus and a strong team spirit. - The skill to work with both local people trying to develop their communities and sophisticated people at University and the international level who want to learn about the struggles of the local people and who are prepared to put in their money to assist. - So partners with other organizations and trains and mentors them; they then work directly with large numbers of especially vulnerable children and families. - Academic discipline in recording work done and in program planning. - Teamwork and assisting communities in memory work. - Its staff. - Research and community embedded-ness. - So's greatest strength is in helping individuals and their families to be resilient through creating the space for dialogue. Thus by facing their memories around illness and death and knowing their story children are able to cope better in their life than when they do not know. - Training and research.
2	Vision/Mission	Are you aware that SO has a vision statement (future aspiration)?	Y=4 N=4
3		What is the key message of that statement?	- Not distinguished from mission statement. - To help those who have been marginalized to enhance their resilience. - To retrieve the silenced memories of local communities in Africa with special allusion to vulnerable persons like women, children and people living with HIV, using oral history and memory work. - It is to develop life of the vulnerable children into a better lifestyle. - Using the oral history methodology to retrieve silenced memories of vulnerable in Africa.
4		Are you aware that SO has a mission statement?	Y=9 N=0
5		What is the key message of that statement?	- Retrieving the silenced memories of local communicates in Africa. - Same as above. - So assists especially vulnerable children and families to retrieve their forgotten or unspoken memories through oral history and memory work. - Healing of individual and communal memories through the participatory recording of oral history. - Helping women, children and people living with HIV/AIDS and been abused to

			retrieve their silenced memories through oral history and memory work. • Research on oral history. • To provide service and build capacity through trainings, workshops and lectures in communities of all religious affiliation in partnership with public institutions. • It is about HOPE and HEALING. • It is to retrieve the silent memories of the marginalized communities and vulnerable people.
6		How do you use this message in your work?	• It shapes our research and community development work. It informs public statements and publications. • To listen carefully to those local people who need help and to explain how So wants to respond. • When I teach adults about memory work, I ensure I give enough time for them to retrieve their own memories in order for them to see the significance of this work. • By ensuring ownership of the work done by communities and individuals who are beneficiaries of the work in by involving them in as much of the planning and execution of the work as possible. By meticulously recording and making available to the beneficiaries the relevant histories thus recorded. • By ensuring that the course content of the modules learnt by the students empowers them and is relevant to the work they do in the communities. • Memory work is about building resilience. Enhanced resilience builds hope and as people tell their memories healing process takes place. • I work with communities that are affected and infected by HIV and AIDs, as well as those who have been affected by political violence.
7	Organizational Management	Which of the following processes have you participated in either developing or reviewing?	
		NN Workplan	Y=5, N=3
		Other Work Planning	Y=6, N=2
		Management and Program Policies & Procedures	Y=3, N=6
		Best Practices	Y=4, N=4
		Strategic Plan	Y=7, N=2
8	Administration	Are you familiar with the administrative policies of your organization?	Y=6 N=2
9		Name three administrative policies which guide your work.	• Travel policy, staff recruitment policy, research funding policy. • Keeping records, sharing information in meetings, reporting to donors and stakeholders.

			• Petty cash, purchasing, bookings • Use correct communication channels, observe protocol in dealing with partners, be efficient and cooperate with colleagues. • Leave policies.
10	Job Description	Do you have a current job description?	Y=7 N=2
11	Personnel Policy	Do you have a copy of the organization's Personnel Manual?	Y=1 N=6 N/A=1
12		Did you provide your signature as a condition for obtaining the Manual?	N=7 N/A=1
13		What do you most like about working here?	• Common desire to integrate teaching, research and community development. • The team spirit within So and the dedication of the staff to helping children and local communities. • I have always appreciated Philippe D' strong sense of fairness and of believing in the good of others. My colleagues have always made me feel welcome and part of the So family. • The team work. • I enjoy the teamwork, people and the job. • My colleagues. • Being empowered and empowering community human resources to be of assistance to vulnerable people. • There is flexibility and transparency. • Learning from the people and being able to contribute to their well-being.

Annex 4: OCA Evaluation Comments

8 evaluation forms were received.

Did the OCA process allow a fair assessment of your organization:	Y (7)	• We all participated equally and free to express our experiences based on our organization • Allows us to look at details of various components of the organization • Very realistic categories and questions • Allows for discussion and engagement with issues. Based on that the organization rates themselves and not OCA • I found the evaluation plan (sections and subsections) comprehensive enough and helpful
	N (1)	• Some questions were irrelevant to our organization
Do you feel the members of your organization were adequately included in the assessment process	Y	• We each raised and discussed coming out of our personal experiences in the life of the organization • Each section had someone required to give responses • Practically unlimited time for discussion • Members participated and contributed to the process • All participated actively • Because we were a small group it was not too difficult to include everybody. I did not hear any complaint in that regard
Do you feel the agreed action plan will help your organization address issues and grow	Y	All
What do you think worked well in this process	Y	• The facilitation of the process. Facilitators challenged us to think through issues in our organization's life • The organized structure of the assessment documents • Very clear structure • Process helped us to plan to articulate clearly our operations, policies and procedures. Above all record, file and disseminate to all members of the organization • All areas covered by facilitators • Exposure to a model of assessment; it facilitated communication among the assessed organization • The fact that it drew our attention to issues (e.g.

		M&E and succession plan) that we need to address
What did you not like about the process		• Days were few and came when we were busy • Nothing • Few long breaks, shorter would be better; scores were misunderstood as school grades • I actually liked the process • Some things were rushed due to time constraints • Allowed dominance by one person • I was afraid of an excessively bureaucratic process but in the end we survived
What would you change		• Maybe to take place early or at end of our year plan • Nothing • Breaks and try to make scores less like grades • Make questions clearer • Organization specific questions would enhance assessment • When voting 1-4, NP facilitators should go around the room one by one and ask for assessment versus a general response from the group • My only question 9is why experts had to be flown from America at great expense while we might have found the same level of expertise in SA. The quality of the OCA team which visited us is not the point here.
Other comments or suggestions		• We need the advisor from NP to give technical advice • This process is going to help us to be more efficient in all areas of our work. We look forward to embarking on a long learning process. • The facilitators are excellent